



21861 U.S. PTO

MAIL STOP PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Attorney Docket No.: 032026:0777



UTILITY PATENT APPLICATION TRANSMITTAL

(new nonprovisional applications under 37 CFR 1.53(b))

Transmitted herewith for filing is the patent application of:

INVENTOR(S): Paul F. Nealey, et al.

**TITLE: GUIDED SELF-ASSEMBLY OF BLOCK COPOLYMER FILMS ON
INTERFEROMETRICALLY NANOPATTERNED SUBSTRATES**

In connection with this application, the following are enclosed:

APPLICATION ELEMENTS:

- ☒ [X] Specification, Claims and Abstract - 37 Total Pages
- ☒ [X] Drawings - Total Sheets - 9
- ☒ [X] Declaration and Power of Attorney - Total Sheets - 5.
- ☐ [] Newly executed (original or copy)
- ☒ [X] Copy from a prior application (37 CFR 1.63(d))
(relates to continuation/divisional boxes completed)
- ☐ [] Deletion of Inventor(s) - Signed statement attached deleting inventor(s) named in
the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ [X] Incorporation by Reference (useable if copy of prior application Declaration being
submitted)

The entire disclosure of the prior application, from which a COPY of the oath or declaration is
supplied as noted above, is considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.

- ☐ Microfiche Computer Program (Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- ☐ Computer Readable Copy
- ☐ Paper Copy (identical to computer copy)
- ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS:

- ☒ Application Data Sheet
- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
- ☒ Information Disclosure Statement (IDS) with PTO-1449.
- ☐ Copies of IDS cited documents.
- ☐ Small Entity Verified Statement(s)
 - ☐ Statement filed in prior application (copies enclosed). Status still proper and desired.
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
- ☒ Transmittal of Formal Drawings
- ☒ Nine (9) Sheets of Formal Drawings

FOREIGN PRIORITY CLAIM:

- ☐ Priority is hereby claimed under 37 CFR 55 and 35 USC 119 based on prior foreign application(s) No(s). _____ filed in _____ on _____, respectively.
- ☐ Certified copies attached

☐ Certified copies already filed on _____ in U.S. Application Serial No. _____, filed _____.

☐ English Translation Document (if applicable)

CONTINUING APPLICATION:

☒ Divisional of prior application Serial No. 09/971,442, filed October 5, 2001.

☒ Please cancel claim(s) 1-35 of the application as filed prior to calculating the filing fee.

☒ The prior application is assigned to Wisconsin Alumni Research Foundation.

☐ A petition, fee and response has been filed to extend the term of the pending prior application until _____.

☒ The prior application is presently pending.

CORRESPONDENCE ADDRESS:

Harry C. Engstrom

FOLEY & LARDNER

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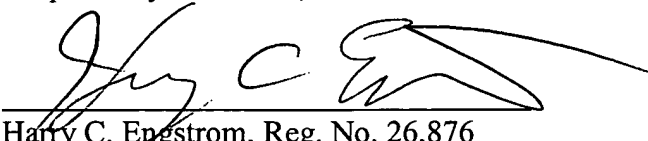
FEE CALCULATIONS: (Small entity fees indicated in parentheses.)

(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee \$770 (\$385)
Total Claims	6 - 20 =	0	x \$18 (x \$9)	770.00
Independent Claims	1 - 3	0	x \$86 (x \$43)	0.00
Multiple Dependent Claims			\$290 (\$145)	0.00
Assignment Recording Fee per property			\$40	0.00
Surcharge Under 37 C.F.R. 1.16(e)			\$130 (\$65)	0.00
			TOTAL FEE:	\$770.00

METHOD OF PAYMENT:

A check in the amount of the above TOTAL FEE is attached. If payment by check is NOT enclosed, it is requested that the Patent and Trademark Office advise the undersigned of the period of time within which to file the TOTAL FEE. If payment enclosed, this amount is believed to be correct; however, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-2350.

Respectfully submitted,


Harry C. Engstrom, Reg. No. 26,876

March 15, 2004

Date

FOLEY & LARDNER

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Paul F. Nealey
Juan J. DePablo
Francesco Cerrina
Harun H. Solak
XiaoMin Yang
Richard D. Peters
Qiang Wang

Date: March 15, 2004

Docket No.: 032026:0777

Title: GUIDED SELF-ASSEMBLY OF BLOCK COPOLYMER FILMS ON
INTERFEROMETRICALLY NANOPATTERNED SUBSTRATES

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

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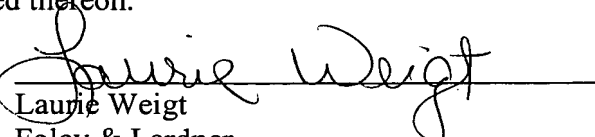
Date of Deposit: March 15, 2004

I hereby certify that these attached documents

- *Utility Patent Application Transmittal (Divisional)
- *Patent Application
- *Application Data Sheet
- *Transmittal of Formal Drawings
- *Nine (9) Sheets of Formal Drawings
- *Copy of Signed Declaration and Power of Attorney
- *Check No. 822098, \$770.00
- *Information Disclosure Statement
- *Form PTO-1449

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 35 C.F.R. § 1.10 on the date indicated above and is addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Enclosed for filing please find the above-referenced patent application. Please indicate receipt of this patent application by returning the attached postcard with the official Patent and Trademark Office receipt stamped thereon.


Laurie Weigt
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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Paul F. Nealey
Juan J. DePablo
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For: **GUIDED SELF-ASSEMBLY OF BLOCK COPOLYMER FILMS ON
INTERFEROMETRICALLY NANOPATTERNED SUBSTRATES**

TRANSMITTAL OF FORMAL DRAWINGS

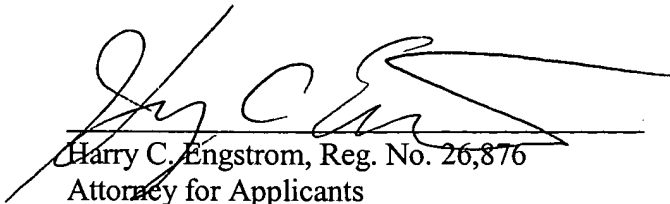
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

Enclosed for filing with respect to the above-referenced patent application, please
find nine (9) sheets of formal drawings.

It is requested that applicants' undersigned attorney be notified of any further
requirements with respect to the enclosed formal drawings.

Respectfully Submitted,



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